

0.3 500g E.O.	In the United States Patent and Trademark Office
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Applicant: Serial No.: Filed: For:	David Maxwell Chickering, et al. 09/430,767 October 29, 1999 CLUSTER-BASED AND RULE BASED APPROACH FOR AUTOMATED WEB-BASED TARGETED ADVERTISING WITH QUOTAS
Art Unit: Examiner:	2121 Wilbert L. Starks
	SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
P.O. Box 14	er for Patents 50 VA 22313-1450
Sir:	
except for: (	) pending applications: (b) those previously cited or submitted to the Office in the following application(s)
except for: (i which this ap applications(i Seri Filir	n) pending applications; (b) those previously cited or submitted to the Office in the following application(s) plication relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published i).  al No.:  g Date:  y document, publication or other information for which a date is not given on the attached PTO-1449,
except for: (i which this ap applications(i Seri Filir Regarding an	n) pending applications; (b) those previously cited or submitted to the Office in the following application(s) plication relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published i).  al No.: g Date:  y document, publication or other information for which a date is not given on the attached PTO-1449, policy (s) the same may qualify as "prior" art to this application and should be treated accordingly, although
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	(d) 🛛		e period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a fallowance.				
		(1) 🗆	The required certification is given below, or				
	٠	(2)	Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement:				
			(i) Enclosed is a check covering the fee;				
			(ii) Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or				
			(iii) Enclosed is a credit card payment form covering the fee.				
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4.	Certific	ation (if	applicable)				
	Certification (if applicable)  (a) The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.						
	(b) 🗌	commu knowle	dersigned hereby certifies that no item of information contained in this Statement was cited in a inication from a foreign patent office in a counterpart foreign application or, to the undersigned's dge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) and 3 months prior to the filing of this Statement.				
5.	The Co No. 50-		ner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account				
			Respectfully Submitted,				
	•		Himanshu S. Amin Reg. No. 40,894				
24 <sup>TH</sup> FI 1900 E Clevela	t Turocy oor, Nati ast 9 <sup>th</sup> Str and, Ohio 96-8730	onal City reet	v Center				
			CERTIFICATE OF MAILING				
	being (	deposited	that this correspondence (along with any paper referenced as being attached or enclosed) is I on the below date with the United States Postal Service with sufficient postage as first class clope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.				
	2	7-28	$A_{\alpha}$				
	Date	100	Christina M. Padamonsky				

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Date

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SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

Complete if Known					
Application Number	09/430,767				
Filing Date	October 29, 1999				
First Named Inventor	David Maxwell Chickering				
Art Unit	2121				
Examiner Name	Wilbert L. Starks				
Attorney Docket Number	MS131753 03/MSFTP222LISB				

(Use as many sheets as necessary)

Sheet 1 of 2 Attorney Docket Number MS

Examiner	Cite	Document Number	Publication Date	Name of Patentee or	Pages, Columns, Lines, Where
nitials*	No.1	Number-Kind Code <sup>2</sup> (* known)	MM-DD-YYYY	Applicant of Cited Document	Relevant Passages or Relevant Figures Appear
W	6/	US- 6,876,974	04-05-2005	Marsh, et al.	
/WS	/	US- 6,463,585	10-08-2002	Hendricks, et al.	
/WS/		US- 6,286,005	09-04-2001	Cannon	
/WS/		US- 5,635,978	06-03-1997	Alten, et al.	
/WS/		US- 5,848,397	12-08-1998	Marsh, et al.	
/WS/		US- 6,026,369	02-15-2000	Capek	
/WS/		US- 6,055,510	04-25-2000	Henrick, et al.	
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NS/		US- 6,134,532	10-17-2000	Lazarus, et al.	
VS/		US- 6,665,653	12-16-2003	Heckerman, et al.	
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	FOREIGN PATENT DOCUMENTS									
Examiner Initials*	Cite No.1	Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Τ <sup>6</sup>				
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Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	04/15/2007

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete If Known

Application Number 09/430,767

Filing Date October 29, 1999

First Named Inventor David Maxwell Chickering

Art Unit 2121

Examiner Name Wilbert L. Starks

Attomey Docket Number MS131753.03/MSFTP222USB

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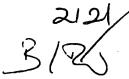
Sheet 2 of 2 Attorney Docket Number MS131753.03/MSFTP222USB

NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²			
/WS/		R. DEDRICK; "A Consumption Model for Targeted Electronic Advertising", IEEE Multimedia, Summer 1995, p. 41-49, vol. 2, no. 2				
/WS/		R.R. YAGER; "Targeted e-commerce marketing using fuzzy intelligent agents", IEEE Intelligent Systems, November-December 2000, p.42-45, vol. 15, no. 6				
/WS/		M. CHARIKAR, et al.; "On Targeting Markov Segments", Proceedings of the Thirty-First Annual ACM Symposium on Theory of Computing, 1999, pp.99-108				
/WS/		CHICKERING, et al.; "Targeted Advertising with Inventory Management", EC'00, 2000, pp. 1-5				
/WS/		CHICKERING, et al.; "A Decision Theoretic Approach to Targeted Advertising", Microsoft Research, pp. 1-7				
/WS/		CHICKERING, et al.; "Goal-Oriented Clustering", Technical Report, May 2000, p.1-9	<b></b>			
/WS/		DAVID HECKERMAN; "A Tutorial on Learning with Bayesian Networks", Technical Report, March 1995, pp. 1-57				
/WS/		M. LANGHEINRICH, et al.; "Unintrusive Customization Techniques for Web Advertising", http://www8.org/w8-papers/2b-customizing/unintrusive/unintrusive.html, Viewed November 28, 2000, p. 1-19				
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	/Wilbert L. Starks, Jr./		
Examiner	/vylibert L. Starks, U./	Date	04/15/2007
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<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to to file (and by the including gathering, preparing, and submitting the complete application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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		(b) 🗌	Attachment	entitled "Concis	e Explanation o	f Relevance	of Non-I	English Lai	iguage Do	cuments".	
	3.	Pursuant	to 37 C.F.R	R. §1.97(b) this St	tatement is bein	g filed (one r	must be o	hecked):			
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·		(b) 🗆	mailing dat absence the	mailing date of a te of a first Office treof, the Office i count No. 50-100	Action on the is authorized to	merits, the rec charge the rec	quired co quired fo	ertification e set forth	is given be	elow or, in	the
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	(d) 🔯		e period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a fallowance.				
		(1)	The required certification is given below, or				
		(2)	Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement:				
			(i) Enclosed is a check covering the fee;				
•			(ii) Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or				
•			(iii) Enclosed is a credit card payment form covering the fee.				
	(e) 🗌	Petition	e mailing date of either a final action or a notice of allowance, but before payment of the issue fee. hereby is made for consideration of this Statement and the required certification is indicated below. ng the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:				
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			Respectfully Submitted,				
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			Himanshu S. Amin Reg. No. 40,894				
24 <sup>TH</sup> Fl 1900 E Clevela	t Turocy oor, Nati ast 9 <sup>th</sup> Stand, Ohio 96-8730	ional City reet	Center				
	being	deposited	CERTIFICATE OF MAILING that this correspondence (along with any paper referenced as being attached or enclosed) is on the below date with the United States Postal Service with sufficient postage as first class lope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.				
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Complete if Known Substitute for form 1449A/PTO **Application Number** SUPPLEMENTAL 09/430,767 Filing Date INFORMATION DISCLOSURE October 29,1999 First Named Inventor David E. Heckerman, et al STATEMENT BY APPLICANT Art Unit 2121 **Examiner Name** Wilbert L. Starks (Use as many sheets as necessary Attorney Docket Number MS131753.3/MAFTP222USB Sheet

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number  Number-Kind Code <sup>2 (I known)</sup>	Publication Oate MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Unes, Where Relevant Passages or Relevant Figures Appear
	7	US- 5,588,056	12-24-1996	Ravi Ganesan	
WSA	-	US- 5, 850, 448	12-15-1998	Ravi Ganesan	
/WS/		US- 2003/0086413 A1	05-08-2003	Sandra Tartarelli, et al.	
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	FOREIGN PATENT DOCUMENTS									
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Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	04/15/2007

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Substitute for form 1449B/PTO				Complete If Known			
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				Art Unit	2121		
			,	Examiner Name	Wilbert L. Starks		
Sheet	2	· of	2	Attorney Docket Number	MS131753.3/MAFTP222USB		

NON PATENT LITERATURE DOCUMENTS					
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١	Examiner	/Wilbert L. Starks, Jr./	Date	04/15/2007
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<sup>&</sup>quot;EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the Infoldidual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.